

# Exhibit E

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<b>Investigation Records</b>			Republic of China, April 22, 2019				
			At the Ministry of Justice (MJIB) Investigation Bureau Taichung				
Cause of Action	Trade Secret Act						
Question	Name	Alias	Gender	DOB Month/ date/year	Place of Birth	Profession (Title)	Taiwan National Identity Card Number
Answer	GUO Fengming		Male		Tainan City Taiwan	Manager, UMC Defect Analysis Department	
Question	Address		Telephone			Family Economic Status	Education
Answer	Residence: [REDACTED] [REDACTED] [REDACTED]		[REDACTED] [REDACTED]			Well-off	Graduated from Semiconductor Device and Material Analysis Research Institute, National Chiao Tung University
	Weekend Residence: [REDACTED] [REDACTED] [REDACTED] [REDACTED]		[REDACTED] [REDACTED]				

Question: Today is April 22, 2019, 09:22 hour. The prosecutor at the Taichung Investigative Office has launched an investigation on a Trade Secret Acts case. You are summoned to this Office (Investigation Bureau, MJIB, New Taipei City Office) as a witness to verify information for the investigation, do you understand?

Answer: I understand.

Question: If you are worried about the statement you are giving will affect yourself or the following people who are related to you as per Article 180 of the criminal law: (1) current or former spouse, direct blood line, a blood relative up to three times removed, relative by marriage up to twice removed,

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parent, or family members. (2) engaged to be married. (3) current or former legal agent or your legal agent to face criminal prosecution, you may refuse to give a statement as a witness, do you understand?

Answer: I understand.

Question: You are being interviewed as a witness, if you give a false statement and violate the Code of Criminal Procedure, Provision 168, you will be charged with perjury for up to a 7 year sentence, do you understand?

Answer: Yes.

Question: (Remark: One copy of U.S. patent application material) Please examine this material. In December, 2016, you were listed as one of the inventors of a patent titled “Method of Fabricating Isolation Structure”, (*Method of Fabricating Isolation Structure*); the application was submitted under the United Microelectronics Corporation [hereafter referred to as UMC] and the Fujian Jinhua Company of Mainland China. Please describe the content of your invention.

Answer: (After reading the material). This portion is wrong. I did not participate in the invention of the “Method of Fabricating Isolation Structure.” It’s not my name, but *Ming-Feng Kuo*, the patent inventor’s name, appeared in your office’s document, should be GUO Mingfeng (PH); he is a staff member under UMC’s Etching Department whose name I refer to in English as *Eric*.

Question: In reference to the above mentioned, who were the people from UMC participated in the discussion or review of the specific details in your patent invention?

Answer: I don’t know. I did not participate in the patent invention for the *Method of Fabricating Isolation Structure*.

Question: In reference to the above mentioned, please list the other inventors.

Answer: I don’t know.

Question: Did you and other listed inventors ever engaged in any discussion of the declaration for the patent?

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Answer: No, I did not participate in the patent invention for the *Method of Fabricating Isolation Structure*.

Question: How many group discussion sessions did you and the other inventors have?

Answer: I don't know. I did not participate in the patent invention for the Method of Fabricating Isolation Structure.

Question: Did anyone else participate in the particular group discussion sessions besides you and the other inventors?

Answer: I don't know. I did not participate in the patent invention for the Method of Fabricating Isolation Structure.

Question: Who initiated the particular patent application under UMC and the Fujian Jinhua Company of Mainland China? What is the person's name or the name of the business?

Answer: I don't know. I did not participate in the patent invention for the Method of Fabricating Isolation Structure.

Question: Have you ever discussed with anyone in that office about the patent application? Who did you have the discussion with?

Answer: None at all. I did not participate in the patent invention for the Method of Fabricating Isolation Structure.

Question: Were you ever in a discussion with CHEN Zhengkun about the discovery of Micron Technology, Inc. [hereafter: Micron] trade secret information in UMC electronic products? Who initiated the dialogue?

Answer: We have never had such a discussion with him. I have never seen Micron trade secret information in UMC electronic products.

Question: In reference to the above mentioned, what did CHEN Zhengkun say about the discovered Micron trade secret information?

Answer: I don't know, I have never seen Micron trade secret information in UMC electronic products.

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Question: You were interviewed by this office on December 19, 2018--was the statement you gave the truth? Anything you'd like to add?

Answer: The truth. Nothing to add.

Question: Are you aware of an internal investigation UMC conducted on two of its notebook computers containing Micron trade secret files and information? What are the details?

Answer: The day after your office interviewed me, on my leave day, I received a call from the office secretary (I don't remember the lady's name) indicating the company was looking for the notebook computer[s], and that was why the department where I worked would be searched; I was also asked whether my desk drawers could be opened. It was when I found out that UMC was in search of the computers. I only know the company was looking for a specific type of notebook computer, and a photo of the particular notebook computer was sent to my mailbox, but the company did not tell us why they were looking for the particular notebook computer. At the end, the computer was not found in my department. I also have some misgivings about this issue, which is how these two notebook computers containing Micron trade secret files and information came into light.

Question: In reference to the above mentioned, who were these two notebook computers assigned to?

Answer: First of all, I have no idea which two notebook computers your office is referring to. Secondly, I have no knowledge that Micron trade secret files and information were stored in the notebook computer[s], and that is why I am not able to answer to whom the computers were assigned.

Question: (Remark: One copy of voice recording file and translation material from a UMC internal meeting during the investigation.) Does content of the recording and the translation match?

Answer: (After listening and reading) Yes, the content of the recording and translation provided by your office are the same.

Question: In reference to the above mentioned, who were the participants at this meeting? Were you one of them? Who are the persons respectively represented by codes C, K, L, and H?

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Answer: This meeting was held after February 7 or 8 of 2016. Due to the time elapsed, I don't remember how many people were at the meeting. The code *C* represented a UMC attorney with the last name CHEN [STC 7115] (I don't know the given name); the code *K* was myself, and I have no idea whom code *L* represented. Code *H* was HUANG [STC 7806]--the former director of legal affairs (I don't know the given name).

Question: In reference to the above mentioned, according to the discussion in the recording, when you guys talked about the second notebook computer being missing and how to handle it, you indicated you have already deleted the information pertaining to Micron's trade secrets, or that you have formatted it (*FORMAT*). However, this computer is used internally at UMC for browsing and inspecting Micron's trade secret information. Why did you, time and time again, hide the facts from this office? Please provide the details to what was discussed in the meeting in accordance to the sequence of the recordings.

Answer: First of all, I must explain--the notebook computer I was referring to in the recording is for our department public use, a backup computer, located by where LI Fuzhe was situated. When I first entered UMC, I had to send out a problematic computer to get fixed, and that was why I took this backup notebook computer from LI Fuzhe, but I was unsuccessful in getting into the system after entering the account's passcode. It was when I learned from LI Fuzhe that that was a backup computer and unable to connect to the network. After this, I left this notebook computer by where I was sitting, and I had no idea what kind of information was stored in the computer. At the time when UMC was being searched, our entire department had only two shared backup notebook computers--one was under HE Jianting's custody, and another was located near my desk. And because the notebook computer under HE Jianting's custody had already been confiscated, my intuition was that the notebook computer near my desk might also cause misunderstanding, but I must emphasize again that I have never been able to successfully logged into this notebook computer, and I don't know what sort of things stored in it. That is also why during my last interview with your office, when I was asked whether the notebook computer contained any Micron information, my respond was I don't know. Following the incident, Attorney CHEN and former Director of the Legal Affairs HUANG came to discuss this matter with me, I did try to *FORMAT* this computer, but because I was unable to gain access, so it is true that I did not *FORMAT* it. I said in the recording that I wanted to turn this notebook computer over to the company ASAP is because it created a certain level of pressure and stress for me. Soon after this meeting, I turned this notebook computer over to our department secretary *Jocky* (I'm not

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sure of the Chinese name), but I don't know what *Jocky* did with this notebook computer.

Question: In reference to the above mentioned, whereabouts were the two notebook computers kept in the office? Please provide details of the location.

Answer: As I have stated previously, these two were back up notebook computers belonging to the First and Second Special Project Office of which everyone had access to. I'm not clear as to why one of them is kept by HE Jianting. The other computer, even though it was placed near my desk, it was available for everyone without having to first check with me or the department secretary. The people who knew about these two notebook computers, as far as I know, included HE Jianting, LI Fuzhe, and myself because we were the ones who entered UMC at an earlier stage. Additionally, the department secretary, *Jocky*, also knew about these two notebook computers. As to whether anyone else may have had knowledge of that, I'm not sure.

Question: Have you ever checked Micron trade secret information stored in either one of the two notebook computers? Or, did you insert an *USB* or other devices into the two notebook computers to examine Micron trade secret information?

Answer: I have never utilized the notebook computer under HE Jianting's custody. As for the notebook computer located next to my desk, as I have stated earlier, I have not had success in entering the system, which is why I have not looked at the information inside the two notebook computers, and I don't know whether Micron trade secret information is stored in the computers. As for myself, I deleted all my Micron related work information when I was leaving Micron.

Question: In reference to the aforementioned UMC internal investigation, has anyone interviewed you about it?

Answer: Only Attorney CHEN and HUANG, former Director of Legal Affairs, from the broadcasted meeting at your office, interviewed me, and no one else. UMC started the hunt for the notebook computers after I was interviewed by your office last time; I was confused as to why there was still a hunt for the notebook computer, but the company did not explain the reason for the hunt, and I did not ask why.

Question: Have you ever tried to log on to either of the two notebook computers?

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Answer: As I have previously stated, I did try to plug in a network cable and enter my account password into the notebook computer that was placed next to my desk, but I found out later this notebook computer is a backup machine and cannot be connected to the network, so I wasn't able to enter into the system successfully, and I have no knowledge as to whether attempts made by others were successful.

Question: Did you ever make a request to electronically delete the content, especially Micron's trade secret information stored in the aforementioned notebook computer[s], and to wipe out the information in the notebook computer[s] to avoid the information being discovered?

Answer: After HE Jianting surrendered the notebook computer under his custody which was confiscated by the investigative unit, as I have mentioned, because I intuitively felt the notebook computer that was located next to my desk might cause misunderstanding, I did try to *FORMAT* the entire computer. However, because I wasn't able to get into the system, so the *FORMAT* in the end was not successful; as to the type of information stored in this notebook computer, I'm not sure.

Question: In reference to the above mentioned, in order to delete the information, who did you give the notebook computer to?

Answer: I gave the notebook computer to *Jocky*, the department secretary. My thinking was that I would return what is the company's property back to the company. I'm not sure as to how they would handle it afterwards--I did not ask *Jocky* about it, neither did *Jocky* speak to me about it.

Question: Who was it eventually deleted the information from the notebook computer?

Answer: As I mentioned earlier, I just gave the notebook computer to *Jocky*, the department secretary. As far as what they did with it afterwards, I'm not sure.

Question: Who were you in discussion with from within and outside of UMC about deleting information from the notebook computer? Please provide details of the names of those individuals.

Answer: No one. I decided on my own to try to *Format* this notebook computer. However, as I mentioned earlier, because I wasn't able to log onto the system, I was unable to *Format* this notebook computer successfully.

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Question: Continued from the above conversation, what respective instructions were you given by those who participated in the discussion?

Answer: I did not discuss with anyone about deleting information from the notebook computer. I gave the notebook computer to the department secretary *Jocky* following a discussion with UMC's Attorney CHEN and former Director of Legal Affairs HUANG. I wasn't sure how they handled it.

Question: Who are the people who would know about information in the notebook computer has already been deleted? Please describe in detail the names of those people.

Answer: The decision to *Format* the notebook computer was entirely a consequence of my own thinking, which in the end was not successful, and that was why I did not tell anyone about it.

Question: Continued from previous conversation, after deleting the information from the notebook computer, how was the notebook computer disposed by you all?

Answer: As I stated earlier, I gave the notebook computer to the department secretary *Jocky*. As to how they handled it, I don't know.

Question: Where did you once hide the particular notebook computer?

Answer: First of all, I need to explain that I did not hide this notebook computer. When your office came to conduct the search, this notebook computer was placed next to where I was sitting. After your office completed the search, I put the notebook computer inside my cabinet, making it under my custody instead of a shared computer.

Question: Did you already destroyed the physical notebook computer?

Answer: I don't know. I am unaware of its status after giving it to the department secretary *Jocky*.

Question: Which people inside and outside of UMC instructed you to hide or destroy that notebook computer? Please provide details of the names of those people.

Answer: During the search at UMC, the notebook computer was placed by where I was sitting the whole time. After the search, I came to the conclusion that this computer may come under suspicion, so I wanted to return it to the company as

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soon as possible, which was why I put it inside my cabinet. The reason I did so was based on my own logic, and no one gave me instructions to do so.

Question: Where is the current whereabouts of the particular notebook computer?

Answer: As I have stated earlier, I'm unaware of its status after turning it over to the department secretary *Jocky*.

Question: You have committed perjury last (and this) time of the written records of the interviews about the status of aforementioned notebook computer[s], why?

Answer: When your office interviewed me last time, I was only asked if I had seen information pertaining to the Micron Company, and the notebook computer was not mentioned. Additionally, it is true that I have not seen the Micron information in the computer, which was why I said I did not know. As for this time when your office asked me right from the beginning about the notebook computer, I did not know the notebook computer your office is referring to is the one that was located by my desk which I later put away in the cabinet. After I turned it over to the department's secretary *Jocky*, the company was once again looking for a notebook computer, and since I wasn't clear which notebook computer you were referring to, that's why I said I don't know.

Question: Who is "*Jocky*" you were referring to in that particular meeting? What is the person's Chinese name?

Answer: *Jocky*'s last name is CAO [STC 2580], female, a secretary to our Special Project Technical Office, but I forgot her full name.

Question: What was *Jocky*'s job responsibilities? Which department does she belong to?

Answer: *Jocky* is a secretary of the Special Projects Technical Office to which I belong, and she is responsible for handling administrative and general matters.

Question: Who is *Jocky*'s immediate superior? When it comes to business, who does she report to?

Answer: ZOU Shifang is *Jocky*'s immediate supervisor. Theoretically, *Jocky* should report all business matters to Shifang, but I'm not sure about the details. *Jocky* or ZOU Shifang would be in a better position to answer that question.

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Question: Does “*Jocky*” know what kind of Micron trade secret information was stored in UMC’s notebook computer? Please describe in detail.

Answer: I have no idea whether *Jocky* knows about the Micron trade secret information stored in the notebook computer; I don’t even know what kind of information is stored in the notebook computer. How can I possibly know whether *Jocky* knows it or not? This question can only be answered by *Jocky*.

Question: Does *Jocky* know what happened to the missing notebook computer? Please describe in detail.

Answer: I don’t know. This question can only be answered by *Jocky*.

Question: It is now 12:53. This office will temporarily stop questioning you for a meal break, do you understand?

Answer: I understand.

Question: The time is 13:19. Your meal break is over, and this office will continue with its questioning, do you understand?

Answer: I understand.

Question: Do you have anything to add?

Answer: I am not sure whether my testimony will cause the U.S. to prosecute me. I hope my case will be properly handled by the judge and the prosecutor within their authorization sphere.

Question: Is your statement above the truth?

Answer: The truth.

The above written record contains a total of nine pages; completed on April 22, 2019 at 13:30. After reading and confirming that this record is error-free, the interviewee’s signature and stamp (or finger print) are as follows:

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Interviewee: GUO Fengming [Handwritten/finger print]  
Interviewer: ZHANG Peishan [Handwritten]  
Recorder: DENG Weiyuan [Handwritten]

[end of document]